



GUIDELINES FOR SELF-ASSESSMENT
AND INSPECTION OF NEW DEAL 18-24
JUNE 1999



TRAINING STANDARDS
COUNCIL

PARTNERS FOR QUALITY

GUIDELINES FOR SELF-ASSESSMENT
AND INSPECTION OF NEW DEAL 18-24
JUNE 1999



TRAINING STANDARDS
COUNCIL

CONTENTS

The Training Standards Council	5
Terms of reference	
The Council	
Introduction	7
Self-assessment	11
The process of inspection	15
Planning and inspection	
Reporting and grading	
Follow-up and evaluation	
The framework	19
Introduction	
Learning and assessment	
Clients' achievements	
Resources	
Equal opportunities	
Client support	
Management of training	
Quality assurance	
Appendices	29
1 Occupational areas	
2 Values and commitments	

THE TRAINING STANDARDS COUNCIL

TERMS OF REFERENCE

- To advise the Secretary of State for Education and Employment and the TEC National Council on the quality of training in England offered by training providers supported by public funding.
- To advise the Minister for Employment on the quality of training in England offered through the New Deal for 18 – 24 year olds.
- To oversee the development and implementation of a quality assurance framework for training providers, embracing self-assessment and external inspection.
- To oversee the development and implementation of a quality assurance framework for training in New Deal units of delivery, embracing self-assessment and external inspection.
- To recommend to the Secretary of State for Education and Employment and the TEC National Council and keep under review methods for assessing quality and standards of training provision and related methods of assessing competence.
- To receive assessment reports, from the national inspectorate, on government-funded training providers, sector provision and on other aspects of training provision in England and elsewhere, and to advise on necessary action.
- To report annually to the Secretary of State for Education and Employment, the TEC National Council and the Employment Service including an evaluation of the overall quality of training in England.
- To advise on other matters as requested from time to time by the Secretary of State for Education and Employment, the TEC National Council and the Employment Service.

THE COUNCIL

1 The Training Standards Council is responsible for the independent inspection of government-funded work-based training. Its scope includes provision funded through the New Deal for 18 – 24 year olds, through training and enterprise councils (TECs), and with the assistance of the European Social Fund (ESF) and the Single Regeneration Budget (SRB). The

Training Standards Council draws its funds directly from the Department for Education and Employment and from the Employment Service. The Council's chief inspector reports annually on standards in government-funded work-based training to the Secretary of State for Education and Employment, the TEC National Council (TNC) and the Employment Service.

2 The Training Standards Council has 15 members including the chief inspector. They are selected from applicants for publicly advertised posts. In its recruitment procedures the Council uses the guidelines on good practice in making public appointments. Members are drawn from industry, training organisations, education and TECs.

3 In addition to working towards fulfilment of its terms of reference, the Council co-operates with other relevant organisations to raise standards of training nationally, and promotes the involvement of employers in work-based training. It publishes examples of good practice in order to raise public confidence in work-based training. It also identifies poor practice in training and any provision which is of little added value to the clients in the light of their previous experience and attainment.

4 The Council's operational arm is the training inspectorate. It is led by the chief inspector. There are four directors. Three of them are responsible for inspection and the fourth director is responsible for the business services which support the Council's work. In addition there are five senior inspectors, one of whom is responsible for the operation of the New Deal inspection programme. The Council works from a single headquarters in Oxford. The Council has appointed 30 full-time inspectors. They work from their homes throughout England. Their responsibilities include: leadership of inspections which are conducted with the participation of part-time associate inspectors; leadership in matters related to the occupational areas in which they are qualified and experienced; representing the inspectorate locally and maintaining close links with Employment Service regional offices, TECs and government offices; representing the Council on professional bodies and other national organisations.

INTRODUCTION

5 This document contains the Training Standards Council's guidance on the self-assessment and inspection of training under the New Deal for 18-24 year olds in England. Training includes both formal learning which takes place away from the workplace and training and assessment that take place at work. It encompasses the steps taken to diagnose and address learning needs, to plan training activity, and to support clients while they are training. An indication of the scope of the work is provided in the seven sections of the framework described later in this document. The development of the framework has been informed by a series of pilot inspections, testing different approaches to inspection and assisting with the training of inspectors. During this preparatory period, there has been extensive consultation with regional and head office staff of the Employment Service and with members of local partnerships.

6 Self-assessment and inspection of training in the New Deal are important parts of a wider continuous improvement strategy, which includes the *New Deal Driver* and *Core Performance Measures*. Used together, the elements form a powerful mechanism for review, evaluation and action planning. Links have been made between these elements at relevant points in the framework.

7 The framework has been developed specifically for the inspection of New Deal at local partnership level. It builds upon the principles described in *Raising the Standard*, the Council's circular which outlines the arrangements for self-assessment and inspection of government-funded work-based training. The quality statements from *Raising the Standard* have been revised to meet the requirements of the New Deal, and to guide self-assessment and inspection at local partnership level.

8 The quality statements in the framework describe aspects of good training. They are intended to help local partnerships, the Employment Service and inspectors to judge the quality of provision. Not all of them will be applicable to every situation. They do not constitute a check list. Local partnerships will undertake self-assessment annually, setting targets for improvement on each occasion. They should be realistic about their strengths and weaknesses if there is to be the steady improvement which is expected. In most cases, inspectors will intervene in these annual cycles only once before March 2002, in order to offer a national perspective on standards.

9 In developing this framework, the Council has been aware of the need to avoid unnecessary duplication of inspection activity. Arrangements for the inspection of New Deal have, therefore, been designed to operate on two levels.

THE TRAINING PROVIDER LEVEL

10 Where a training provider delivering elements of New Deal is also a TEC contractor, the inspection of New Deal work will take place at the same time as the inspection of TEC-funded work, as part of the Council's existing programme:

- Self-assessment reports will be expected to include consideration of New Deal work.
- The Council's circular, *Raising the Standard*, will be used as the framework for inspection.
- Each main occupational area offered by the provider will receive a grade.
- Occupational areas in which only New Deal clients are being trained will not form part of the published inspection report, but the inspection findings will be carried forward to inform the relevant local partnership report.
- A grade will be awarded to each of the four generic aspects of the framework and will apply to the training organisation as a whole.
- Inspection activity, reporting and grading will reflect clients' and trainees' experiences across both Employment Service and TEC-funded work.
- New Deal work will be clearly identified.
- Where the quality of provision differs between that designed for New Deal clients and that for TEC-funded trainees, the fact will be mentioned in the relevant section of the report.

THE NEW DEAL LOCAL PARTNERSHIP LEVEL

11 All local partnerships in England will be inspected by March 2002, under this framework:

- Self-assessment and inspection will focus on the delivery of training in each of the New Deal options and on the performance of the local partnership in the generic aspects of provision.
- Self-employment will be reported on separately as if it were an additional option.
- There will be one grade and one set of strengths and weaknesses for each of the options and for each of the generic aspects of the framework. These summaries of performance will reflect the contributions of all those involved in the partnership.

- Evidence gained from the inspections of training providers working on behalf of the local partnership, which have taken place in the 12 months prior to the local partnership inspection, will be taken into account by inspectors in arriving at their conclusions.
- Information on standards in occupational sectors will be provided in a series of appendices listing the inspection grades of providers delivering New Deal work, which have already been inspected. This information will be shown irrespective of the provider's place in the contracting chain. Evaluative sections may be provided for major occupational areas which have been sampled, although there will be no summary occupational grade, derived either directly from the New Deal inspection or from previous inspection grades.
- New Deal clients who are working with training providers which also contract with TECs, may be visited during the inspection of a local partnership, even though the provider itself is not under inspection. Visits to clients based with providers which have been inspected previously, will be kept to the minimum which is consistent with maintaining the currency of information used as a basis for inspectors' judgements.

12 Local partnerships which are responsible for the delivery of the New Deal will be expected to maintain consistently high standards and to have rigorous quality assurance procedures which are based on self-assessment. Organisations which are involved in the delivery of the New Deal will be expected to take a full part in the self-assessment process, so that they contribute to the improvement of the work of the local partnership. It is expected that local partnerships will assess their own strengths and weaknesses against the quality statements in the New Deal framework. Quality monitoring and contract monitoring by the Employment Service will support them in this work.

13 The work of the Training Standards Council complements the work of the Employment Service, training providers themselves and the local partnerships. The role of the Council is to bring a national perspective to the judgements which are made about New Deal and to publish reports on local partnerships and on other aspects of New Deal training. The Council will work closely with the head office and the regional offices of the Employment Service, in planning and implementing its inspection arrangements. Primary responsibility for ensuring that clients receive training of a consistently high quality lies with training providers. Private sector lead contractors, joint venture partnerships and consortia must ensure that training providers fulfil that responsibility. The Employment Service will ensure that training

organisations fulfil their contracts, undertake self-assessment and achieve continuous improvement. Local partnerships will secure an appropriate range of effective provision in their areas and will determine the actions which are required to ensure continuous improvement.

14 Inspection of a local partnership will cover nine elements: the four New Deal options, self-employment and the four generic aspects of the framework. These generic aspects are equal opportunities, client support, management of training and quality assurance. Each New Deal option, including self-employment will be inspected using the framework. A single grade will be given for each of the options; covering the first three aspects of the framework: learning and assessment, clients' achievements and resources. Option grades will only be influenced by the local partnership's performance in a generic activity, such as management, when this performance affects the quality of the clients' learning experience significantly.

15 The level of benefit which the individual receives from training will be the basis for evaluating quality. The extent of this benefit will be judged partly through assessment of learning which, wherever possible, will be observed and graded. Inspectors will also take full account of clients' achievements in terms of the quality of their work, the progress they make and the qualifications they gain. Inspectors will examine assessment and retention records from the inception of the New Deal programme for 18-24 year olds, to enable them to assess trends. A standard format for records will be provided and inspectors will check these data against primary sources such as attendance records and awarding body pass-lists.

16 Local partnerships should be flexible as well as rigorous in their use of the framework. In turn, inspectors will be flexible and fair in their approach, drawing their evidence of quality from an appropriate range of sources and ensuring that they take into account the relative unpreparedness of those who are assessed early in the inspection cycle.

17 The Council's inspectors will grade strictly according to what they find. Whilst the interest of local partnerships and individual training providers may appear to be in their own grades and in those of their immediate neighbours or competitors, in the longer term it is the success of the New Deal as a whole that will be of greater importance to them. The independence and objectivity of the inspectorate are the Council's contribution to that progress.

DAVID SHERLOCK
CHIEF INSPECTOR

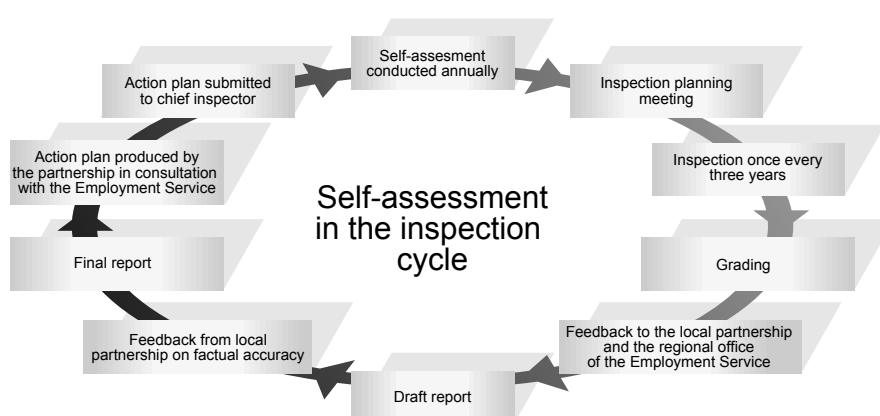
SELF-ASSESSMENT

18 The search for continuous improvement is central to the New Deal. The purpose of self-assessment is to help local partnerships to raise the quality of provision. Local partnerships are asked to examine their work every year in the light of the quality statements in the framework and to make judgements about their performance. They should identify their strengths and weaknesses, together with the evidence which supports their judgements. They should prepare action plans to remedy weaknesses, consolidate strengths, and secure improvement within a set period of time and through a coherent programme of activity. Successes should be recorded and analysed so that the lessons learnt from them can be applied elsewhere.

19 The Employment Service has recently introduced a form of self-assessment based on the Business Excellence Model, called the *New Deal Driver*. The *Driver* is designed to help local partnerships to manage performance by identifying strengths and areas for improvement in relation to New Deal delivery as a whole, including training provision.

20 Local partnerships are asked to be cautious and realistic in identifying their strengths, celebrating success only when it is demonstrable. Normal practice requires little comment. Few, if any, organisations are without weaknesses and local partnerships should overcome any reluctance to identify areas in which they could improve. Inspectors will comment on the accuracy of local partnerships' identification of strengths and weaknesses and the grades derived from them, in their published reports.

21 The following diagram locates self-assessment in the cycle of continuous quality improvement and inspection:



22 The Council's inspectorate and the regional office staff and managers of the Employment Service are involved in the processes of self-assessment and continuous improvement.

23 The role of the regional offices of the Employment Service is:

- to manage contract compliance for New Deal delivery, and in specific circumstances, such as joint venture partnerships or private sector lead areas, to manage contracts
- to advise on the quality assurance arrangements of the local partnerships
- to provide continuous support to local partnerships to ensure that they fulfil the requirements of annual self-assessment
- to advise the inspectorate on the inspection programme
- to work with inspectors to resolve issues in relation to the quality of the training provision
- to ensure that action plans following self-assessment or inspection are pursued by local partnerships.

24 The role of inspectors in relation to self-assessment is:

- to meet the Employment Service financial audit and monitoring teams and regional contracting teams every quarter, to assist in monitoring the annual self-assessments and action planning conducted by local partnerships
- to work with the regional offices of the Employment Service to resolve issues relating to the quality of New Deal training provision in their regions
- to advise the regional offices of the Employment Service on priorities in respect of continuous improvement of the quality of New Deal provision in their regions.

25 In conducting annual self-assessment local partnerships should:

- use the quality of each client's learning experience as the basis on which judgements are made
- make self-assessment an integral part of strategic and operational planning
- involve staff at all levels, making sure that they are aware of the objectives and procedures of self-assessment
- involve clients, giving them the opportunity to express their views anonymously

- consult relevant external organisations
- involve contractors and sub-contractors and consider their self-assessment and inspection reports
- collect and analyse statistical performance data, identifying trends over time
- make sure that the evidence supporting judgements is reliable and accessible
- monitor their own progress from year to year in remedying weaknesses, consolidating strengths and securing improvement
- consider the results and findings of other continuous improvement activities.

26 Local partnerships are advised to develop self-assessment procedures which are appropriate to their particular circumstances. Where members of a local partnership have to address several quality frameworks, such as *Raising the Standard* or those of The Further Education Funding Council (FEFC), they should try to accommodate all of them in a single process. Information collected by individual organisations for these other purposes should inform the local partnership's self-assessment. Documentation should reflect the needs of the local partnership and its clients, as well as the procedure for self-assessment.

27 In the year of inspection, a recent self-assessment report should be submitted to the Council's inspectorate. Self-assessment reports should be concise; not more than three sides for each option or generic aspect of provision, excluding an appendix which provides statistical data. Local partnerships may find it helpful to organise their self-assessment reports in tabular form with a summary of grades on a separate page. If this mode of presentation is used, it should show: clear judgements of the strengths and weaknesses of each aspect specified in the framework; a summary of the evidence supporting each judgement; references to supporting documentation; and identification of the person responsible for that aspect of work.

28 Self-assessment reports should contain an introduction drawn from the latest New Deal delivery plan. The introduction should include:

- a description of the local partnership's work and any distinctive features of the programmes in which it offers opportunities for learning and personal development
- contractual and placement arrangements
- the size and scale of the partnership and its structure
- the number and location of clients in each option

- a summary of the main features of the local community, including official data on employment, industrial and commercial trends, training, education, demography and significant environmental issues
- reference to the outcomes of any audits or assessments of the quality of provision.

29 The self-assessment report should have a separate section on each option: subsidised employment, full-time education and training, voluntary sector, environment task force, and self-employment. Each of these sections should contain judgements on learning and assessment, clients' achievements and the resources which are used in delivery of the option. Each option is to be awarded a single grade which summarises, in effect, strengths and weaknesses in these three aspects of the inspection framework and any elements of the generic aspects of the framework which affect significantly the quality of clients' learning. Sections on options should also make specific reference to trends in clients' achievements. The self-assessment report will also contain a section on each of the generic aspects of the framework. There should be a single grade supported by a set of strengths and weaknesses for each aspect.

30 The final section of the self-assessment report should set out the actions to be taken to remedy the weaknesses and consolidate the strengths identified in each section, as a means of securing continuous improvement. It is likely that the action plan will form part of the local partnership's general improvement plan for New Deal, derived from the strengths and areas for improvement identified by using the *New Deal Driver*. Action plans are most useful when they contain easily measurable objectives, timescales within which these must be achieved and identification of the people responsible for making the changes. The action plans produced annually will form the basis of dialogue between local partnerships and regional offices of the Employment Service. Local partnerships may find it helpful to organise their action plans in tabular form.

THE PROCESS OF INSPECTION

PLANNING AND INSPECTION

31 The Council will determine the annual inspection programme after consulting the Employment Service. Local partnerships will be given a minimum of three months' notice of inspection. Where appropriate, opportunities will be taken to co-ordinate inspection with the work of the regional contracting and financial audit and monitoring teams of the Employment Service.

32 Information on each local partnership will be sought from the Employment Service. The scope of each inspection will be determined at a planning meeting involving representatives from the inspectorate and the local partnership. A minimum of four weeks' notice will be given prior to a planning meeting so that all the relevant parties can be involved. Colleagues from the regional office of the Employment Service will be invited to this meeting. Inspections will cover all the relevant aspects of provision identified in the inspection framework. The dates of inspection will be a matter for the inspectorate to decide, having taken account of views at the planning meeting. Where information derived from recent inspections of training providers is to be considered as part of the evidence informing judgements about the local partnership, its scope will be made clear at the planning meeting. Inspectors will aim to concentrate the inspection into as short a time as possible, but it may be necessary to sample provision over an extended period in order to ensure that judgements are fair and reliable.

33 The Council recognises that many training providers, employers, colleges and TEC direct contract units within local partnerships are already subject to inspection of those aspects of their work which receive government funding through TECs, FEFC, the ESF or the SRB. From 1 April 1999, inspection of these organisations was extended to include their New Deal training provision, and judgements made about the provision, will contribute to the inspectorate's conclusions about local partnerships. The Council will seek to ensure that duplication of inspection is kept to a minimum.

34 The composition of the inspection team will reflect the scale and nature of the work to be inspected. Local partnerships will be asked to nominate an appropriate member of staff to join the inspection team. This person must have extensive knowledge of the work of the partnership. Nominees will act as a link throughout the inspection process. They will be asked for information and kept abreast of provisional findings as they emerge. The intention is that inspectors should be able to check facts and discuss judgements with them during the inspection process. Nominees will not contribute to decisions about grades, nor will they be invited to accompany inspectors at interviews when their presence might inhibit the free expression of opinion by staff or clients. Nominees will be present during the inspection team's discussion of the initial text of the report and the indicative grades.

35 A lead inspector who is a member of the Council's full-time inspectorate will manage each inspection team. The lead inspector will plan the inspection, co-ordinate the work of the team, moderate judgements, take responsibility for the initial report and lead the feedback to local partnerships. Where the work of the local partnership is extensive or widely distributed, more than one member of the Council's full-time inspectorate may be involved.

36 Informal feedback on inspectors' findings will be given as the inspection progresses. For example, an inspector who has observed a learning session will be expected to speak briefly to the trainer or work supervisor about the strengths and weaknesses of that session. Formal feedback on inspection findings will be provided orally at the end of the inspection or, in the case of larger partnerships or more complex inspections, within about a week of its completion. Representatives from the regional office of the Employment Service will be invited to attend the formal feedback. Shortly after the inspection and again about a week before publication, a representative of the local partnership will be shown a draft of the inspection report and asked to check its factual accuracy.

37 In the event of a local partnership raising significant objections to the content of the report, these should be the subject of discussion between the partnership and the lead inspector. If the objections cannot be settled locally, a senior inspector and, if necessary, the chief inspector, will adjudicate their validity with the assistance of a written submission from the local partnership.

REPORTING AND GRADING

38 A report on each local partnership will normally be published within 10 weeks of the end of the inspection. Publication will be electronic, using the Council's Website and those concerned will be informed of the date of publication. Inspection reports will be written under the headings of each of the options and the generic aspects of the framework. Inspection grades previously awarded to training providers involved in work on behalf of the partnership will be recorded in an appendix to the report. Reports will be presented in the following format:

- an opening page comprising a 100-word summary of inspection findings, key strengths and weaknesses expressed as bullet points, and a table of grades
- an introduction to the local partnership and the social, educational, economic and environmental circumstances in which it works
- a section on each option including a grade, a commentary on the match between self-assessment and inspectors' findings, strengths and weaknesses as bullet points, and text celebrating good practice or describing poor practice in sufficient detail to enable it to be speedily addressed
- a section on each generic area in a format similar to that described above for the options
- an appendix to the report listing grades awarded to training providers
- statistical appendices.

39 Summaries of clients' achievements in gaining employment or qualifications will be provided for each option.

40 Grades for options and generic areas will be subject to moderation by the chief inspector prior to publication in order to ensure the consistency of inspectors' judgements nationally. Local partnerships will be informed where grades are to be changed from those indicated at the time of inspection.

The chief inspector will include in his annual report, the findings from inspection of New Deal training provision and will draw the attention of the Secretary of State for Education and Employment to its most significant strengths, its main shortcomings and to issues that affect it. Other reports will be produced from time to time on good practice, matters of topical interest and relevant international comparisons.

FOLLOW-UP AND EVALUATION

41 After publication of each inspection report, the local partnership will be required to make a written response within two months, setting out an action plan addressing the weaknesses, reinforcing the strengths identified in the report and generating continuous improvement. This action plan must have been agreed with the regional office of the Employment Service before its formal submission to the chief inspector. The chief inspector will approve the action plan subject to the condition that it adequately addresses the issues identified by the inspectors. It will be for the regional office of the Employment Service in consultation with the Council's inspectorate, to monitor the actions necessary to foster continuous improvement.

42 Options or generic aspects graded 4 or 5 will be reinspected within a year of a report being published. A summary report of all reinspections will be published annually, describing briefly the progress made by each of the local partnerships involved and analysing the level of improvement. After each reinspection, the relevant sections in the report on the local partnership will be replaced to reflect the new findings and grade, but reference to the original judgements will remain.

43 Both inspectors and the local partnership concerned will be invited to evaluate the effectiveness of each inspection. The work of the inspectorate will be subject to an annual review by the Council and the findings of this review will be published

THE FRAMEWORK

INTRODUCTION

44 These guidelines relate both to self-assessment and inspection. Guidelines are expressed as a set of positive 'quality statements' for each of seven aspects of provision. The quality statements are not a checklist. They are neither exhaustive nor prescriptive. Some will not be applicable to every type and context of learning. There is some overlap between sections because they categorise aspects of a single process. The sources of evidence which are suggested for each of the seven aspects of provision are neither applicable to all situations nor exhaustive.

45 The first three aspects of the framework contain the main guidelines for judging the quality of training in the options. Judgements relating to each of these aspects will be brought together to support a single grade for each option. The grade will not be arrived at arithmetically but by judging the relative importance of the strengths and weaknesses identified in relation to the quality of learning experienced by the clients. The remaining aspects are generic; each leads to a grade for the local partnership as a whole.

46 Aspects of provision are described as follows:

Aspects of provision

Aspects combined to form a single grade for each option
Learning and assessment
Clients' achievements
Resources

Generic aspects leading to grades for the local partnership
Equal opportunities
Client support
Management of training
Quality assurance

47 Each option and each generic area of provision will be graded using the descriptors below:

Grade descriptors

Grade 1	Outstanding provision, which has many strengths and few weaknesses
Grade 2	Good provision, in which the strengths clearly outweigh the weaknesses
Grade 3	Satisfactory provision, with a mixture of strengths and weaknesses
Grade 4	Less than satisfactory provision, in which the weaknesses clearly outweigh the strengths
Grade 5	Poor provision, which has few strengths and many weaknesses

48 LEARNING AND ASSESSMENT *FOR EACH NEW DEAL OPTION*

Quality statements

- Learning is effectively planned, documented and accomplished so that it meets the needs of clients and employers and the requirements of awarding bodies and government programmes.
- Arrangements for learning appropriately specify the following:
 - standards
 - objectives and expected outcomes
 - content
 - learning methods
 - timescales for delivery
 - assessment methods
 - responsibilities for trainers, work supervisors and assessors.
- Learning opportunities on- and off-the-job are used creatively to give clients the skill and knowledge which they need to achieve the required standards and enhance their employability.

- Trainers, work supervisors, assessors and personal advisers work as a team.
- Trainers, work supervisors, assessors, personal advisers and clients comply with legislation and demonstrate good practice in health and safety and equality of opportunity.
- Clients understand, influence and agree their learning programmes and how they will be assessed.
- Clients are consulted about the effectiveness of their training.
- Clients are told regularly about their progress and how they can improve their performance.
- Assessment is comprehensive, rigorous and well-documented.

Suggested sources of evidence:

Observation and systematic evaluation and grading of training
and assessment in action

Interviews with clients, trainers, work supervisors, personal
advisers and assessors

Documentation relating to training and assessment, such as
training materials; learning programmes; labour market
information; clients' records; work-placement monitoring
records; questionnaires issued to clients, and others, and
analysis of their responses; clients' personal development
plans; individual self-assessment reports from contractors and
sub-contractors, training plans and individual action plans;
self-employed clients' business plans; findings of evaluation
surveys and reports

External assessments, such as those of awarding bodies and standards
organisations; feedback from employers; records of contract
monitoring at regional or district level

49 CLIENTS' ACHIEVEMENTS *FOR EACH NEW DEAL OPTION*

Quality statements

- Employment and learning goals are agreed with each client and these are documented.
- Demanding and realistic targets for completion, qualification and progression to employment are set and met.
- Clients maintain appropriate levels of attendance, punctuality, and motivation.
- Clients' work is of an appropriate standard and demonstrates the necessary occupational competence.
- Clients' work benefits the community and the environment.
- Clients are given the facilities and training to be able to apply effectively for jobs.
- Clients make significant progress towards achieving their goals and fulfilling their potential.
- Clients' progress and achievements are appropriately monitored, recorded and accredited.
- Success rates for jobs and qualifications compare well with local and national averages.

Suggested sources of evidence:

Observation of clients and their work, and the benefits achieved for the community and the environment

Interviews with clients, work supervisors, and trainers.

Documentation relating to clients' achievements such as New Deal core performance measures; clients' records, clients' personal development plans and individual training plans, documents on target setting; average rates of achievement as a proportion of the number of clients who started the programme; documents relating to certification; regional and national averages for clients' performance in achieving awards; regional and national averages for clients' performance in gaining and sustaining employment

Self-assessment reports from contractors and sub-contractors

External assessments such as those of awarding bodies and standards organisations; feedback from employers; records of contract monitoring at regional or district level

50 RESOURCES FOR EACH NEW DEAL OPTION

Quality statements

- There are sufficient staff who have the skills, knowledge, qualifications and experience to deliver training in each specialist option and occupational area to clients of diverse backgrounds and with differing needs.
- Clients have access to accommodation, equipment, facilities and sites which:
 - help them to learn effectively
 - reflect current good practice in industry, commerce and the environmental and voluntary sectors
 - meet the requirements of awarding bodies
 - conform to health and safety requirements
 - are well maintained
 - are used efficiently
 - are adapted to help those with learning difficulties or disabilities.

Suggested sources of evidence:

Observation of resources, including adaptations made to assist people with learning difficulties or disabilities, and facilities for information technology

Interviews with staff, work supervisors, trainers, clients and personal advisers

Documentation relating to resources such as details of staff numbers, qualifications and experience; inventories of equipment, site plans and project specifications; environmental management plans

Self-assessment reports from contractors and sub-contractors

External assessments such as those by awarding bodies, Investors in People, the British Standards Institution, the British Quality Foundation, local authorities, the Environment Agency, and the Health and Safety Executive; feedback from employers; records of contract monitoring at regional or district level

51 EQUAL OPPORTUNITIES IN THE LOCAL PARTNERSHIP AS A WHOLE

Quality statements

- The local partnership and all its participating organisations have equal opportunities policies and implement procedures for furthering equality of opportunity which comply with legislation and demonstrate good practice.
- Equality of opportunity is effectively promoted and managed.
- Procedures for guidance, referral and assessment guarantee clients' equality of opportunity.
- Staff and clients are protected against discrimination and harassment, and their complaints and grievances are addressed promptly.
- The equal opportunities policies, procedures and action plans are:
 - documented
 - understood and supported by clients and staff, sub-contractors and employers
 - promoted by word and example
 - applied to all activities
 - monitored to ensure that they are implemented effectively
 - reviewed regularly to maintain their relevance.

Suggested sources of evidence:

Interviews with staff and clients

Documentation relating to equal opportunities such as mission statements, charters, publicity and marketing materials; surveys of the views of staff and clients; equal opportunities policies and procedures; policies on discrimination or harassment regarding race, gender, religion, age and sexual orientation; monitoring and evaluation arrangements; statistics on referral, achievement and progression; records of complaints and remedies; disability statements; staff recruitment and employment records; appropriate references to legislation relating to the welfare of young adults; local data on equality of opportunity

Self-assessment reports from contractors and sub-contractors

Responses to the *New Deal Driver* and the New Deal Performance Improvement Action Plan

External assessments and guidance from organisations such as awarding bodies, the Equal Opportunities Commission, the Commission for Racial Equality, the National Disability Council

52 CLIENT SUPPORT *IN THE LOCAL PARTNERSHIP AS A WHOLE*

Quality statements

- Clients are given relevant, timely and objective advice by option providers.
- The Gateway contains a sufficiently broad range of training provision to fit the needs of each client.
- The occupational skills, knowledge, prior achievements and learning needs of clients are systematically assessed and used to prepare realistic training and personal development plans.
- The transition between the Gateway and subsidised employment or another option is timely and well-managed.
- Clients are given a well-planned induction to their option and their learning programmes and are informed of their rights and responsibilities.
- Clients have regular and frequent opportunities to discuss their development with staff and personal advisers, and are given up-to-date information and advice on opportunities for employment, training and education.
- Assessment and learning opportunities in the Gateway are well-managed and meet clients' needs.
- Personal counselling, mentoring and advice are available to clients to help them to complete their learning programmes successfully.
- Clients with learning difficulties or disabilities receive appropriate additional support.
- Support for clients is comprehensive, fully documented and regularly reviewed.

Suggested sources of evidence:

Observation of: induction, basic skills sessions; advisory sessions for monitoring clients' progress and for setting new goals; careers and progression advisory sessions; job search activities

Interviews with clients, work supervisors, personal advisers, mentors or counsellors

Documentation relating to client support such as policies and procedures for assessment of prior achievement; induction, guidance and assessment; clients' individual action plans, personal development plans and individual training plans; agreements,

codes of conduct, documents on the additional learning support which is available; documents relating to progression after completion of programmes and assessment; questionnaires revealing clients' opinions; policies relating to clients with learning difficulties or disabilities; follow-through provision

Self-assessment reports from contractors and sub-contractors

Responses to the *New Deal Driver* and the New Deal Performance Improvement Action Plan

External assessments such as those of awarding bodies, employers, the careers service, specialist advisory agencies and agencies responsible for the welfare of clients with learning difficulties or disabilities; records of contract monitoring at regional or district level

53 MANAGEMENT OF TRAINING IN THE LOCAL PARTNERSHIP AS A WHOLE

Quality statements

- The local partnership provides a comprehensive range of opportunities to ensure that clients are able to improve their employability within the context of the local labour market.
- The local partnership's values, policies, strategies and targets are understood and supported by all its staff, contractors, sub-contractors and placement providers.
- Managers implement policy effectively and they set and meet measurable targets for success.
- Managers establish co-operative relationships among the people and organisations involved in New Deal.
- Managers take full responsibility for both on- and off-the-job learning and co-ordinate them effectively.
- Lines of communication and accountability are clear both across the local partnership and within each option.
- The local partnership conducts New Deal so that it benefits the economy, the community and the environment.
- Staff understand their roles and they are effectively deployed.
- Managers encourage open debate and acknowledge the efforts of individuals and teams.
- Accurate and current data inform management decisions and the actions of staff.

Suggested sources of evidence:

Interviews with managers of local partnerships, contractors, work supervisors, trainers, clients and external stakeholders

Documentation relating to management such as mission statements; contracts; policy statements; strategic and operating plans; agendas and minutes of meetings; output from management information systems; data on the effectiveness and efficiency of the programme

New Deal core performance measures

Responses to the *New Deal Driver* and the New Deal Performance Improvement Action Plan

External assessments such as those of, the British Standards Institution, the British Quality Foundation and employers

54 QUALITY ASSURANCE IN THE LOCAL PARTNERSHIP AS A WHOLE**Quality statements**

- The local partnership has clearly-documented quality assurance arrangements.
- Quality assurance is understood and implemented by all staff, contractors and sub-contractors.
- Quality assurance arrangements help to ensure that clients' learning is consistently of high quality in each option and occupational area, and on all sites.
- Quality assurance results in continuous improvement.
- The local partnership rigorously monitors the effectiveness of training in the New Deal and draws up action plans to address any weaknesses it may have.
- The local partnership monitors the achievements and destinations of its clients and uses these data to further the continuous improvement of New Deal.
- The local partnership conducts self-assessment annually according to Training Standards Council and Employment Service guidelines as part of its quality assurance routine.
- Judgements in self-assessment reports are clearly supported by evidence.

Suggested sources of evidence:

Interviews with managers, contractors, staff, clients and external stakeholders

Documentation relating to quality assurance such as policies and procedures; contract and franchise agreements; contract compliance records; reviews, action plans and statistics relating performance to targets; internal verifiers' reports; analysis of clients' performance and outcomes; questionnaires, surveys and analysis of responses; self-assessment reports and supporting evidence

New Deal core performance measures

Responses to the *New Deal Driver* and the New Deal Performance Improvement Action Plan

External assessments such as those of the British Standards Institution, the British Quality Foundation, the European Foundation for Quality Management; environmental audits; records of contract monitoring at regional or district level.

APPENDIX 1

TSC occupational codes, with comparable classification used by other bodies

TSC OCCUPATIONAL CODES			COMPARATIVE CODES		
CODE	TITLE	INDICATIVE CONTENT	NVQ	FEFC	SOC
A	Agriculture	agriculture	1	02	900s
		horticulture			
		animal care			
		floristry			
		forestry			
		gamekeeping			
		equine studies			
		fish farming			
		conservation/environment			
		machine maintenance			
		agricultural management			100-300
B	Construction	building crafts	3	03	500s
		building maintenance			
		demolition			
		general construction			
		plumbing			
		painting and decorating			
		wood trades			
		roads/civil			
		electrical installation			
		construction management			100-300
C	Engineering	marine	4	04	500s
		aeronautical			
		automotive			
		chemical			
		electrical/electronic			
		mechanical			
		software and programming			
		telecommunications			
		servicing and maintenance			
		energy			
		engineering management			100-300

[illegible]

TSC OCCUPATIONAL CODES			COMPARATIVE CODES		
CODE	TITLE	INDICATIVE CONTENT	NVQ	FEFC	SOC
M	Media & design	video, radio and film production theatre and performance journalism printing graphics/fashion/interiors product design textile design photography music and recording design management	10	08	300s/500s 100-300
N	Foundation for work	pre-vocational numeracy/literacy/IT personal effectiveness recruit and train ESOL	9	10	900s

APPENDIX 2

Values and commitments

1 The Council undertakes:

- to act with professionalism and objectivity.
- to place the learner at the heart of everything it does.
- to promote equality of opportunity.
- to work to achieve effective partnerships with other bodies which have complementary responsibilities.
- to behave with openness and transparency.
- to demonstrate value for money.

2 The Council asks that everybody involved in the process of inspection behave towards others with courtesy, candour and consideration. This is likely to be most important, as well as most difficult, when views diverge.

3 The Council requires that its inspectors adhere to the following general guidelines, to ensure that it is publicly evident that they are independent, objective and free from conflicts of interest:

- Inspectors should not accept gifts.
- Inspectors should not accept hospitality at other than a modest and conventional level.
- Inspectors should offer to pay for any refreshments provided by training organisations during inspection.
- Inspectors must decline to inspect training organisations with which they have had any financial relationship, including employment or consultancy, in the five years preceding an inspection.
- Associate inspectors must decline to inspect training organisations for which they act as external verifier or those for whose work they are regional or national verifiers.
- Associate inspectors who are connected with the Employment Service and other bodies which have a regulatory function must decline to inspect local partnerships and training providers with which they have, or might have in future, a relationship through their employment outside of the inspectorate.
- Associate inspectors may contract with a training organisation for other services after an inspection is complete. However, care must be taken to ensure that there can be no reasonable supposition that an associate inspector uses inspection as an opportunity to offer other professional services. An inspector who gives rise to reasonable suspicion that he or she has used inspection as a means of marketing other services will be removed from the register of inspectors.

4 Inspection can sometimes be a difficult and contentious business. It cannot be conducted successfully unless there is an open and professional relationship, founded on mutual trust, between inspectors and those whom they inspect. Inspectors should follow the above guidelines at all times. In addition, they should bear in mind the following:

Recommendations of the committee on standards in public life: the seven principles of public life

Selflessness

Staff employed by the Council should take decisions solely in terms of public interest. They should not do so in order to gain financial or other material benefits for themselves, their family or their friends.

Integrity

Staff employed by the Council should not place themselves under any financial or other obligation to outside individuals or organisations, which might influence them in the performance of their official duties.

Objectivity

In carrying out public business, including making public appointments, awarding contracts or recommending individuals for rewards and benefit, staff employed by the Council should make choices on merit.

Accountability

Staff employed by the Council are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate.

Openness

Staff employed by the Council should be as open as possible about all the decisions and actions which they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands it.

Honesty

Staff employed by the Council have a duty to declare any private interests relating to their public duties and to take steps to resolve any arising conflicts in a way which protects the public interest.

Leadership

Staff employed by the Council should promote and support these principles by leadership and example.



TRAINING STANDARDS
COUNCIL